

SECTION 2: FORM PTO 1449 - MODIFIED

RECEIVED

MAR 13 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

GROUP 2700

Applicant: Wagner

Atty Dkt: 1956/126

Serial No: 09/480,390

Date: February 16, 2000

Date Filed: January 11, 2000



Invention: SYSTEM, DEVICE, AND METHOD FOR PROVIDING MUTUAL EXCLUSION FOR COMPUTER SYSTEM RESOURCES

Assistant Commissioner for Patents
Washington, DC 20231

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS'
INFORMATION DISCLOSURE STATEMENT

U.S. Documents

| <u>Exam. Ref.</u> | <u>Document</u> | <u>Issue</u> | <u>Name</u> | <u>Class</u> |
|-------------------|-----------------|----------------|------------------|--------------|
| <u>Init.</u> | <u>No.</u> | <u>Number</u> | <u>Date</u> | |
| AA | 5,305,326 | April 19, 1994 | Solomon et al. | 371/11.1 |
| AB | 5,371,743 | Dec. 6, 1994 | DeYesso et al. | 371/8.1 |
| AC | 5,452,444 | Sep. 19, 1995 | Solomon et al. | 395/182.04 |
| AD | 5,537,567 | July 16, 1996 | Galbraith et al. | 395/441 |
| AE | 5,617,425 | April 1, 1997 | Anderson | 371/10.2 |
| AF | 5,633,999 | May 27, 1997 | Clowes et al. | 395/182.04 |
| AG | 5,933,824 | Aug. 3, 1999 | DeKoning et al. | 707/8 |

Examiner: B. J. [Signature]

Date Considered: 03-12-02

NOTE FOR EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance AND not considered. Include copy of this form with next communication to applicant.



Foreign Patent Documents

RECEIVED

MAR 13 2000

GROUP 2700

| <u>Exam. Ref.</u> | <u>Document</u> | <u>Issue</u> | |
|-------------------|-----------------|-----------------|----------------|
| <u>Init.</u> | <u>No.</u> | <u>Number</u> | <u>Date</u> |
| | | | <u>Country</u> |
| AH | WO 91/13399 | Sept. 5, 1991 | World |
| AI | WO 95/13583 | May 18, 1995 | World |
| AJ | WO 98/28684 | July 2, 1998 | World |
| AK | EP 0 727 750 A2 | August 21, 1996 | Europe |
| AL | EP 0 769 744 A2 | April 23, 1997 | Europe |

Other Documents

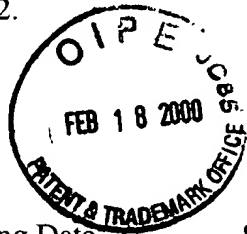
| <u>Exam. Ref.</u> | <u>Name</u> |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------|
| <u>Init.</u> | <u>No.</u> |
| AM | RAID-II: "A Scalable Storage Architecture for High-Bandwidth Network File Service," Lee et al., pp. 1-18. |
| AN | Ciprico Annual Report, The Disk Array Company, June 1995, pp. 1-16. |
| AO | Ciprico, "Ciprico Disk Arrays," September 1995. |
| AP | Clariion's Data Integrity Difference, "A White Paper," Steve Todd, November 28, 1995, pp. 1-7. |
| AQ | Hewlett Packard, "HP Disk Array with AutoRAID for HP 9000 Servers and Workstations," 1995. |
| AR | "Performance Modeling and Analysis of Disk Arrays," Edward Kihyen Lee, University of California at Berkeley, 1993, pp. 1-124. |
| AS | "An Analytic Performance Model of Disk Arrays and its Application," Lee et al., University of California at Berkeley, pp. 1-21. |
| AT | "Performance Measurements of the First RAID Prototype," Ann L. Chervenak, May 17, 1990, pp. 1-58. |
| AU | "HP Disk Array with AutoRAID Models 12 and 12H," Hewlett Packard, pp. 1-10. |
| AV | "Swift: A Storage Architecture for Large Objects," Cabrera et al., October 12, 1990, pp. 1-7. |

Examiner: Brian David Nguyen

Date Considered: 03-17-02

NOTE FOR EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance AND not considered. Include copy of this form with next communication to applicant.

- AW Clariion, "Fibre Arrays, Meeting the Challenge," Brian Bailey, 1996.
- AX "Swift: Using Distributed Disk Striping to Provide High I/O Data Rates," Cebrera et al., pp. 1-23.
- AY "The TickerTAIP Parallel RAID Architecture," Cao et al., HP Laboratories Technical Report, December 1992, pp. 1-20.
- AZ "Swift/RAID: A Distributed RAID System," Long et al., IBM Almaden Research Center, pp. 1-20.
- BA "The Swift/RAID Distributed Transaction Driver," Bruce R. Montague, January 1, 1993, pp. 1-32.



Pending Patent Applications

| Exam. Ref. Init. No. | Filing Date | Serial No. | Title | Inventor |
|-------------------------|---------------|------------|---------------------------------|----------------|
| BB | Dec. 22, 1997 | 08/996,444 | Distributed Raid Storage System | Solomon et al. |

Examiner: Bao Lue Nguyen To

Date Considered: 03-17-02

NOTE FOR EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance AND not considered. Include copy of this form with next communication to applicant.